



This schedule applies to: U.W. Medicine

Scope of records retention schedule

This records retention schedule authorizes the destruction/transfer of the public records of U.W. Medicine relating to the functions of agency management, asset management, health care and treatment, hospital support services, human resource management, laboratory and pathology management, pharmacies, and research. The schedule is to be used in conjunction with the *State Government General Records Retention Schedule (SGGRRS)* which authorizes the destruction/transfer of public records common to all state agencies.

Disposition of public records

Public records covered by records series within this records retention schedule (regardless of format) must be retained for the minimum retention period as specified in this schedule. Washington State Archives strongly recommends the disposition of public records at the end of their minimum retention period for the efficient and effective management of state resources.

Public records designation as “Archival (Permanent Retention)” must not be destroyed. Records designated as “Archival (Appraisal Required)” must be appraised by the Washington State Archives before disposition. Public records must not be destroyed if they are subject to ongoing or reasonably anticipated litigation. Such public records must be managed in accordance with the agency’s policies and procedures for legal holds. Public records must not be destroyed if they are subject to an existing public records request in accordance with chapter 42.56 RCW. Such public records must be managed in accordance with the agency’s policies and procedures for public records requests.

Revocation of previously issued records retention schedules

All previously issued records retention schedules to U.W. Medicine are revoked. U.W. Medicine must ensure that the retention and disposition of public records is in accordance with current, approved records retention schedules.

Authority

This records retention schedule was approved by the State Records Committee in accordance with RCW 40.14.050 on June 5, 2013.

Signature on File

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-

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REVISION HISTORY

| Version | Date of Approval | Extent of Revision |
|---------|------------------|--------------------|
| 1.0 | August 3, 2011 | Initial version. |
| 1.1 | June 5, 2013 | Minor revision. |

For assistance and advice in applying this records retention schedule,

please contact U.W. Medicine's Records Officer

or Washington State Archives at:

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1. AGENCY MANAGEMENT

This section covers records relating to the overarching management of agency business and its general administration not currently covered by the *State Government General Records Retention Schedule*.

See *State Government General Records Retention Schedule* for additional records relating to agency management.

1.1 COMMUNITY RELATIONS

The activity of the agency interacting with its community.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|--|--------------------------------------|
| 11-08-62511 Rev. 0 | <p>Patient Relations</p> <p>Records relating to the agency's interactions with patients or their representatives, such as inquiries, complaints, and grievances.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Inquiries/complaints/grievances received;• Documentation of agency response(s). <p>Excludes HIPAA-related complaints covered by 11-08-62584.</p> | <p>Retain for 8 years after inquiry/complaint/grievance <i>then</i> Destroy.</p> | NON-ARCHIVAL NON-ESSENTIAL OFM |



1.1 COMMUNITY RELATIONS

The activity of the agency interacting with its community.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|---|--------------------------------------|
| 13-06-68446 Rev. 0 | <p>Patient Relations – Telephone Records (Routine)</p> <p>Records documenting routine phone calls and referral processes directed to UW Medicine call centers and other units, relating to health care, appointments, inquiries, complaints, and financial matters.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Recordings of interactions;• Call reports and statistics. <p>Excludes non-routine patient related complaints and grievances covered by 11-08-62511.</p> <p>Excludes HIPAA-related complaints covered by 11-08-62584.</p> <p>Excludes phone calls documented in the electronic medical record.</p> | <p>Retain until no longer needed for agency business <i>then</i> Destroy.</p> | NON-ARCHIVAL NON-ESSENTIAL OFM |



2. ASSET MANAGEMENT

The function of managing hospital and affiliated entities' physical assets and infrastructure including buildings and facilities, equipment, and environmental exposure, where not covered by the *State Government General Records Retention Schedule*.

See the *State Government General Records Retention Schedule* for additional record series relating to disposal, hazardous waste/environmental management, inventory, leasing/usage, and maintenance.

2.1 DISPOSAL

The activity of disposing of the agency's assets through sale or otherwise, where not covered by the State Government General Records Retention Schedule.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|------------------------------------|--|---|--------------------------------------|
| 11-08-62512 Rev. 0 | Radioactive Material – Disposal Records relating to the disposal of byproduct or radiopharmaceutical material, including burials in soil. <i>Note: WAC 246-221-230(8)(a) requires the retention of records relating to disposal of radioactive material until termination of pertinent license or registration.</i> | Retain until termination of last pertinent license or registration <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62513 Rev. 0 | Decay In Storage Records relating to the disposal of radioactive materials due to decay in storage pursuant to WAC 246-240-128. <i>Note: WAC 246-240-584 requires the retention of records relating to the disposal of decay-in-storage radioactive material for 3 years.</i> | Retain for 3 years after date of final disposal <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



2.1 DISPOSAL

The activity of disposing of the agency's assets through sale or otherwise, where not covered by the State Government General Records Retention Schedule.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|---|--------------------------------------|
| 11-08-62514 Rev. 0 | <i>Decay – Strontium-90</i> Records documenting the activity of strontium-90 sources, used to determine treatment times for ophthalmic treatments, pursuant to WAC 246-240-272. <i>Note: WAC 246-240-602 requires the retention of records relating to the activity of strontium-90 sources used for ophthalmic treatments for the life of the source.</i> | Retain for the life of the source <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



2.2 INVENTORY

The activity of detailing or itemizing goods, materials and resources on a periodic basis.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|---|--------------------------------------|
| 11-08-62515 Rev. 0 | <i>Mechanical Floor Stock Devices – Drug Removal</i> Records relating to the removal of drugs from mechanical floor stock devices in accordance with WAC 246-869-120(6). | Retain for 2 years after date of drug removal <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62516 Rev. 0 | <i>Radiation Source Inventories</i> Records relating to semiannual physical inventories of sealed sources and brachytherapy sources pursuant to WAC 246-240-572. <i>Note: WAC 246-240-572 requires the retention of records relating to physical inventories of sealed sources and brachytherapy sources for 3 years.</i> | Retain for 3 years after date of inventory <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62517 Rev. 0 | <i>Radioactive Material – Acquisition/Transfer</i> Records relating to the acquisition or transfer of byproduct and/or radiopharmaceutical material. <i>Note: 10 CFR 30.51(a)(1) and (2) require the retention of records relating to the receipt or transfer of byproduct material for 3 years following transfer or disposal of the material.</i> | Retain for 3 years after disposal/transfer <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



2.3 LEASING/USAGE

The activity of acquiring or granting temporary authority to use goods, materials, or resources.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|--|--------------------------------------|
| 11-08-62518 Rev. 0 | <p><i>In-Home Equipment</i></p> <p>Records relating to the provision and maintenance of hospital-owned equipment used in patient residences, including radioactive materials and surveys of associated equipment (mobile medical services).</p> <p><i>Note: WAC 246-240-581 requires the retention of letters permitting the use of radioactive material at a client's address, and surveys of associated equipment, for 3 years after the last provision of service.</i></p> | <p>Retain for 8 years after equipment has been removed from patient residence</p> <p><i>then</i></p> <p>Destroy.</p> | NON-ARCHIVAL NON-ESSENTIAL OPR |



2.4 MAINTENANCE

The activity of managing the use and maintenance of agency facilities and equipment.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|---|--------------------------------------|
| 11-08-62519 Rev. 0 | Calibration – Brachytherapy Sources Records relating to the calibration of brachytherapy sources before medical use pursuant to WAC 246-240-269. <i>Note: WAC 246-240-599 requires the retention of records relating to the calibration of brachytherapy sources before medical use for 3 years.</i> | Retain for 3 years after last use of source <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62520 Rev. 0 | Calibration – Dosimetry Equipment Records relating to the calibration, intercomparison, and comparisons of dosimetry equipment performed in accordance with WAC 246-240-366. <i>Note: WAC 246-240-611 requires the retention of records relating to the calibration, intercomparison, and comparisons of dosimetry equipment for the duration of the authorized user's license.</i> | Retain for the duration of authorized user's license <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62521 Rev. 0 | Calibration Expert Evaluations Records relating to the evaluation of calibration experts by teletherapy licensees on behalf of the hospital. | Retain for 5 years after expert's performance of last full calibration <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62522 Rev. 0 | Calibration Instructions – Image Receptors Records relating to calibration instructions for image receptor equipment. | Retain until disposition of image receptor <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OFM |



2.4 MAINTENANCE

The activity of managing the use and maintenance of agency facilities and equipment.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|---|--------------------------------------|
| 11-08-62523 Rev. 0 | <p><i>Equipment Calibration and Testing</i></p> <p>Records relating to the calibration and/or testing of instruments and equipment used for the survey or administration of byproduct material <i>where not covered by a more specific record series</i>.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Calibration of instruments used for quantitative radiation measurements in accordance with WAC 246-221-110(2);• Calibration of survey instruments in accordance with WAC 246-240-104;• Calibration of teletherapy units, remote afterloader units, and gamma stereotactic units in accordance with WAC 246-240-369;• Calibration of instruments used to measure the activity of unsealed radioactive material in accordance with WAC 246-240-101;• Records relating to testing of high radiation entry control devices in accordance with WAC 246-221-106(3). <p><i>Note: WAC 246-240-566 requires the retention of survey instrument calibration records for 3 years.</i></p> <p><i>Note: WAC 246-240-614 requires the retention of teletherapy unit, remote afterloader unit, and gamma stereotactic radiosurgery unit full calibrations for 3 years.</i></p> <p><i>Note: WAC 246-240-563 requires the retention of records of each calibration of instruments used to measure the activity of unsealed radioactive material for 3 years.</i></p> | <p>Retain for 3 years after date of calibration/test <i>then</i> Destroy.</p> | NON-ARCHIVAL NON-ESSENTIAL OPR |



2.4 MAINTENANCE

The activity of managing the use and maintenance of agency facilities and equipment.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|---|---|
| 11-08-62524 Rev. 0 | Equipment Sterilization/Infection Control Records relating to the testing of facilities or equipment for infectious substances, and/or the sterilization of equipment or materials for medical use. Excludes sterilizer spore tests covered by 11-08-62528. | Retain for 8 years after date of sterilization <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OFM |
| 11-08-62525 Rev. 0 | Instructions – Manufacturer Instructions supplied by manufacturers and kept by the licensee of any sealed source or brachytherapy source in accordance with 10 CFR 35.67(a). | Retain for duration of source use <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OFM |
| 11-08-62526 Rev. 0 | Instructions/Procedures – Radiation Protection Written procedures, safety instructions, and/or operating procedures for remote afterloader units, teletherapy units, and/or gamma stereotactic radiosurgery units as described in WACs 246-240-360(1)(d) and 246-240-360(4)(b). <i>Note: WAC 246-240-608 requires the retention of written procedures, safety instructions, and operating procedures for remote afterloader units, teletherapy units, and gamma stereotactic radiosurgery units until disposition of the unit.</i> | Retain for 3 years after disposition of equipment <i>then</i> Destroy. | NON-ARCHIVAL ESSENTIAL OPR |
| 11-08-62527 Rev. 0 | Radiation Machine Registrations Records relating to the registration of radiation machines with the Department of health in accordance with Chapter 246-224 WAC. | Retain for 6 years after termination of registration <i>then</i> Destroy. | NON-ARCHIVAL ESSENTIAL OPR |



2.4 MAINTENANCE

The activity of managing the use and maintenance of agency facilities and equipment.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|---|--------------------------------------|
| 11-08-62528 Rev. 0 | Sterilizer Spore Tests Records relating to spore tests performed on sterilization equipment in accordance with WAC 246-145-030(11)(d). <i>Note: WAC 246-145-030(11)(d) requires the retention of records relating to sterilizer testing for at least 3 years.</i> | Retain for 3 years after date of test <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62529 Rev. 0 | Surveys – Treatment Equipment Records relating to radiation surveys of treatment equipment in accordance with WAC 246-240-390. <i>Note: WAC 246-240-629 requires the retention of records relating to radiation surveys of treatment units for the duration of use of the unit.</i> | Retain for the duration of the use of the treatment unit <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62530 Rev. 0 | Teletherapy Calibration Calculations Records relating to calibration inter-comparisons and comparisons of dosimetry equipment for teletherapy. | Retain until termination of equipment license <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62531 Rev. 0 | Teletherapy Five-Year/Source Replacement Inspections Records relating to five-year inspections or servicing of teletherapy and gamma stereotactic radiosurgery units in accordance with WAC 246-240-393. <i>Note: WAC 246-240-632 requires the retention of records relating to five-year inspections for teletherapy and gamma stereotactic radiosurgery units for the duration of use of the unit.</i> | Retain for the duration of the use of the unit <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



2.4 MAINTENANCE

The activity of managing the use and maintenance of agency facilities and equipment.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|--|--------------------------------------|
| 11-08-62532 Rev. 0 | Teletherapy Source Installation Surveys Records relating to radiation surveys of teletherapy sources prior to medical use and/or after each installation of a teletherapy source in accordance with 10 CFR 35.641. <i>Note: 10 CFR 35.641(c) requires the retention of records relating to teletherapy source installation radiation measurements for the duration of the license.</i> | Retain until termination of equipment license <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OFM |
| 11-08-62533 Rev. 0 | X-Ray/Electron Therapy Spot Checks Records relating to spot check measurements of x-ray and electron therapy systems pursuant to WAC 246-225-130. <i>Note: WAC 246-225-130(2)(u)(iii)(H) requires the retention of records relating to spot checks of x-ray and electron therapy spot checks for one year or for twice as long as the spot check cycle, whichever is greater.</i> | Retain for 1 year after completion of spot check <i>and</i> for twice as long as spot check cycle <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



2.5 PURCHASING/ACQUISITION

The activity of acquiring assets through purchase or donation. Includes records documenting ownership of assets.

*See the **State Government General Records Retention Schedule** for record series relating to the purchasing/acquisition of agency assets.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|---|--------------------------------------|
| 11-08-62534 Rev. 0 | Acceptance Testing Records relating to purchase specifications and acceptance testing of diagnostic radiology equipment pursuant to 21 CFR 1000.55. <i>Note: 21 CFR 1000.55(c)(2) requires the retention of purchase specifications and records of acceptance testing throughout the life of the equipment.</i> | Retain until disposition of equipment <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OFM |



3. HEALTH CARE AND TREATMENT

The function relating to the assessment, diagnosis, and treatment of patients.

See the State Government General Records Retention Schedule's **HUMAN RESOURCE MANAGEMENT – Occupational Health and Safety** activity for additional records relating to employee/occupational health.

See the State Government General Records Retention Schedule for additional financial records.

3.1 DIAGNOSTIC AND MEDICAL IMAGING

The activity of imaging the human body for clinical assessment and/or diagnosis.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|--|--------------------------------------|
| 11-08-62535 Rev. 0 | <p>Diagnostic Images – Age 18 and Older</p> <p>Records relating to tests, assessments, or examinations performed on patients age 18 or older in the effort to diagnose illness or disease, which may take the form of graphs, images, tracings, observations, test results, video, or other records produced by diagnostic equipment.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Echocardiographs and electroencephalograms;• Evoked potential tests;• Fetal monitoring strips;• Hematology and cytology reports;• Nuclear images;• X-rays and roentgenograms. <p>Excludes graphs/tracings/images that are part of the patient medical record covered by 11-08-62561, 11-08-62562, or 11-08-62563.</p> <p>Excludes mammography films covered by 11-08-62537.</p> <p>Excludes physician's interpretive reports covered by 11-08-62561 or 11-08-62562.</p> | <p>Retain for 10 years after date of test or assessment <i>then</i> Destroy.</p> | NON-ARCHIVAL NON-ESSENTIAL OPR |



3.1 DIAGNOSTIC AND MEDICAL IMAGING

The activity of imaging the human body for clinical assessment and/or diagnosis.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|---|--------------------------------------|
| 11-08-62536 Rev. 0 | <p><i>Diagnostic Images – Under Age 18</i></p> <p>Records relating to tests, assessments, or examinations performed on patients under age 18 in the effort to diagnose illness or disease, which may take the form of graphs, images, tracings, observations, test results, video, or other records produced by diagnostic equipment.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Echocardiographs and electroencephalograms;• Evoked potential tests;• Fetal monitoring strips;• Hematology and cytology reports;• Nuclear images;• X-rays and roentgenograms. <p>Excludes graphs/tracings/images that are part of the patient medical record covered by 11-08-62561, 11-08-62562, or 11-08-62563.</p> <p>Excludes mammography films covered by 11-08-62537.</p> <p>Excludes physician's interpretive reports covered by 11-08-62561 or 11-08-62562.</p> | <p>Retain for 8 years after patient attains age 18 <i>then</i> Destroy.</p> | NON-ARCHIVAL NON-ESSENTIAL OPR |



3.1 DIAGNOSTIC AND MEDICAL IMAGING

The activity of imaging the human body for clinical assessment and/or diagnosis.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|--|---|
| 11-08-62537 Rev. 0 | Mammography Films Patient mammography films created by the agency. Excludes patient medical records covered by 11-08-62561, 11-08-62562, or 11-08-62563. <i>Note: The Mammography Quality Standards Act (MQSA) Title 42, Chapter 6A, Subchapter II, Part F, subpart 3 (f)(G)(i)(I) requires the retention of mammograms for not less than 5 years, or not less than 10 years if no subsequent mammograms of such patient are performed at the facility.</i> | Retain for 5 years after date of mammogram <i>and</i> 10 years after patient's last mammogram performed at the facility <i>then</i> Destroy. | NON-ARCHIVAL ESSENTIAL OPR |
| 11-08-62538 Rev. 0 | Radiologic Reports Records relating to reports and printouts created by radiologists in the course of examining and assessing radiological images. <i>Note: 42 CFR 482.26(d)(2) requires the retention of radiologic reports and printouts for 5 years.</i> | Retain for 5 years after date of report/printout <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



3.2 LONG TERM CARE/NURSING FACILITY MANAGEMENT

The activity of managing long term care or nursing home programs and facilities.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|---|---|
| 11-08-62539 Rev. 0 | Drug Logs – Therapeutic Leave Logs documenting the provision of prescription drugs to residents for consumption during leave away from the long term care/nursing facility pursuant to WAC 246-865-070(4). | Retain for 8 years after date of last entry <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62540 Rev. 0 | Emergency Kit Drugs Records relating to the receipt and removal of drugs in emergency kits maintained by long term care/nursing facilities in accordance with WAC 246-865-030(4). | Retain for 6 years after date of receipt/removal <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62541 Rev. 0 | Long Term Care/Nursing Home Resident Medical Records – Age 18 and Over Records created by nursing home facilities on a per-patient basis which document services provided to patients age 18 and over. Excludes patient medical records for which a disclosure authorization has been made in the final year of retention, covered by 11-08-62563. <i>Note: RCW 18.51.300 requires nursing homes to retain all records relating directly to the care and treatment of adults for no fewer than eight years following most recent discharge.</i> | Retain for 8 years after last discharge <i>then</i> Destroy. | NON-ARCHIVAL ESSENTIAL OPR |



3.2 LONG TERM CARE/NURSING FACILITY MANAGEMENT

The activity of managing long term care or nursing home programs and facilities.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|---|---|
| 11-08-62542 Rev. 0 | Long Term Care/Nursing Home Resident Medical Records – Under Age 18 Records created by long term care facilities on a per-patient basis which document services provided to patients under age 18. Excludes patient medical records for which a disclosure authorization has been made in the final year of retention, covered by 11-08-62563. <i>Note: RCW 18.51.300 requires nursing homes to retain all records relating directly to the care and treatment of minors for no fewer than three years following attainment of age of eighteen years, or ten years following such discharge, whichever is longer.</i> | Retain for 10 years after last discharge <i>and</i> 3 years after patient attains age 18 <i>then</i> Destroy. | NON-ARCHIVAL ESSENTIAL OPR |
| 11-08-62543 Rev. 0 | Persons Seeking Admission Records relating to individuals on waiting lists for admission to the long term care/nursing facility in accordance with WAC 388-97-0040(6), but who have not yet been admitted. | Retain for 1 year after date of last activity <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OFM |
| 11-08-62544 Rev. 0 | Resident Administration Records documenting summary patient information pertinent to the administration of long term care/nursing services, such as information relating to resident identification, family contacts, and financial details (i.e. “face sheets”). Excludes long term care/nursing home patient records covered by 11-08-62541 or 11-08-62542. | Retain for 1 year after death/discharge of resident <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



3.2 LONG TERM CARE/NURSING FACILITY MANAGEMENT

The activity of managing long term care or nursing home programs and facilities.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|---|---|
| 11-08-62545 Rev. 0 | Resident Censuses Records documenting census information and statistics about long term care/nursing residents. | Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives for appraisal and selective retention. | ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM |
| 11-08-62546 Rev. 0 | Resident In/Out Logs Logs documenting residents signed in or out as they physically enter or leave the long term care/nursing facility. | Retain for 3 years after last entry <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



3.3 PATIENT ADMINISTRATION

The activity of administering health care and treatment services provided for patients.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|---|--|
| 11-08-62547 Rev. 0 | Master Patient Index Records documenting patient identification, registration, medical, and billing information for each individual registered at the hospital. <i>Note: The American Health Information Management Association (AHIMA) recommends the permanent retention of the master patient index.</i> | Retain until destruction of pertinent medical record <i>then</i> Transfer to Washington State Archives for appraisal and selective retention. | ARCHIVAL (Appraisal Required) ESSENTIAL OPR |
| 11-08-62548 Rev. 0 | Maternity Registers Registers of maternity cases at the hospital. | Retain for 3 years after date of entry <i>then</i> Transfer to Washington State Archives for permanent retention. | ARCHIVAL (Permanent Retention) NON-ESSENTIAL OFM |
| 11-08-62549 Rev. 0 | Operative Indexes Logs of surgical operations performed by the hospital and pertinent staff, equipment, or facility information. <i>Note: The American Health Information Management Association (AHIMA) recommends the retention of operatives indexes for 10 years.</i> | Retain for 10 years after date of entry <i>then</i> Transfer to Washington State Archives for permanent retention. | ARCHIVAL (Permanent Retention) NON-ESSENTIAL OFM |



3.3 PATIENT ADMINISTRATION

The activity of administering health care and treatment services provided for patients.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|---|--------------------------------------|
| 11-08-62550 Rev. 0 | Patient Property Records documenting property recovered from patients who are admitted into the hospital. | Retain for 3 years after patient discharge <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62551 Rev. 0 | Operative Scheduling/Assignments Records relating to the scheduling and assignment of staff, equipment, or other medical resources for pre-operative, operative, or post-operative procedures performed by the hospital and/or its ancillary departments (e.g. perioperative services). Includes, but is not limited to: <ul style="list-style-type: none">• Anesthesia/activity logs;• Equipment schedules;• Medical, nursing, anesthesia, and support staff schedules;• Perfusion records. | Retain for 8 years after date of operation <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62552 Rev. 0 | Referrals – To the Agency Pre-admission records relating to patients referred to the agency by outside providers. | Retain until no longer needed for agency business <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



3.3 PATIENT ADMINISTRATION

The activity of administering health care and treatment services provided for patients.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|--|--------------------------------------|
| 11-08-62553 Rev. 0 | <i>Referrals – Outside of the Agency</i> Records relating to agency referrals of patients to non-agency providers. | Retain for 2 years after date of receipt <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OFM |



3.4 PATIENT BILLING

The activity of billing patients for services provided by the hospital or its ancillary departments.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|--|--------------------------------------|
| 11-08-62554 Rev. 0 | <i>Clinical Resource Management/Utilization Review</i> Records relating to comparisons of medical resource requests to treatment guidelines, and resultant determinations of medical necessity. | Retain for 8 years after completion of utilization review <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



3.4 PATIENT BILLING

The activity of billing patients for services provided by the hospital or its ancillary departments.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|--|--------------------------------------|
| 11-08-62556 Rev. 1 | <p>Patient Financial Records</p> <p>Records relating to patient billing, the revenue cycle of payments and reimbursement claims by the healthcare provider to a third party payer, and the documentation to support these functions. Also may include records relating to financial assistance requested and/or granted.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Applications for financial assistance (Medicaid/Medicare eligibility, Hill-Burton eligibility, etc.)• Medicaid/Medicare applications, questionnaires, billing records, and reimbursements;• Insurance and patient reimbursements;• Institutional and professional claims;• Patient billing statement (discharge);• Cost/Fee sheets and supporting documentation;• Facility Only Billing (FOB);• Reconciliations;• Audits;• Refunds;• Write-offs/charity;• Appeals;• Correspondence (patient and third party payer). | <p>Retain for 10 years after date of document <i>then</i> Destroy.</p> | NON-ARCHIVAL NON-ESSENTIAL OPR |



3.4 PATIENT BILLING

The activity of billing patients for services provided by the hospital or its ancillary departments.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|---|--------------------------------------|
| 11-08-62557 Rev. 0 | <p>Uncompensated Care – Compliance</p> <p>Records documenting agency compliance with uncompensated care requirements of 42 CFR Part 124.510(b).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">Any documents from which the information required to be reported to Health and Human Services once every three fiscal years was obtained (see 24 CFR 124.510(a)(i));Accounts which clearly segregate uncompensated services from other accounts;Copies of written determinations of eligibility under 42 CFR Part 124.507. | <p>Retain for 3 years after report submitted to Health and Human Services</p> <p><i>or</i></p> <p>180 days after close of Health and Human Services investigation, whichever is longer</p> <p><i>then</i></p> <p>Destroy.</p> | NON-ARCHIVAL NON-ESSENTIAL OFM |



3.5 PATIENT MEDICAL RECORDS

The activity of managing documentation relating to the assessment and treatment of patients.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|---|---|
| 11-08-62558 Rev. 0 | <p>Counseling</p> <p>Records relating to the provision of mental health counseling and services on a per-patient basis by a licensed mental health counselor.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Counseling notes and summaries;• Prescriptions. <p>Excludes patient medical records for which a disclosure authorization has been made in the final year or retention, covered by 11-08-62563.</p> <p><i>Note: WAC 246-809-035(4) requires the retention of all records relating to counseling services billed to a third-party payer for 5 years following the patient's last visit.</i></p> | <p>Retain for 5 years after patient's last visit <i>then</i> Destroy.</p> | NON-ARCHIVAL ESSENTIAL OFM |
| 11-08-62559 Rev. 0 | <p>Interpretation Requests</p> <p>Records relating to requests received by the hospital to provide language interpretation during medical visits and/or consultations.</p> | <p>Retain until added to patient's medical record.</p> | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62560 Rev. 0 | <p>Organ Transplants</p> <p>Records relating to the transplantation of organs, including records relating to potential donors, organs retrieved/received, transplant recipients, and other transplant-related matters.</p> <p>Excludes patient medical records covered by 11-08-62561 or 11-08-62562.</p> <p><i>Note: 42 CFR 121.11(a)(2) requires the retention of records relating to organ transplants for 7 years.</i></p> | <p>Retain for 7 years after date of transplant procedure <i>then</i> Destroy.</p> | NON-ARCHIVAL ESSENTIAL OPR |



3.5 PATIENT MEDICAL RECORDS

The activity of managing documentation relating to the assessment and treatment of patients.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|--|---|
| 13-06-68447 Rev. 0 | Outside Medical Records – Not Used Medical Records received from non-affiliated hospitals, clinics or healthcare providers for continuity of care that are not requested or determined to be inapplicable, and are not incorporated or uploaded into the UW Medicine medical or imaging records system(s). | Retain for until no longer needed for agency business <i>then</i> Destroy. | NON-ARCHIVAL ESSENTIAL OPR |
| 11-08-62561 Rev. 0 | Patient Medical Records – Age 18 and Over Records created by the hospital or its ancillary departments on a per-patient basis to document health care services provided to patients age 18 and over. Includes, but is not limited to: <ul style="list-style-type: none">• Diagnostic, medical, and/or imaging reports or interpretations;• Medication administration records;• Patient treatment history;• Psychology and psychiatric notes and summaries, and psychotherapy notes. Excludes patient medical records for which a disclosure authorization has been made in the final year of retention, covered by 11-08-62563. | Retain for 10 years after last provision of health-related services <i>then</i> Destroy. | NON-ARCHIVAL ESSENTIAL OPR |



3.5 PATIENT MEDICAL RECORDS

The activity of managing documentation relating to the assessment and treatment of patients.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|--|---|
| 11-08-62562 Rev. 0 | Patient Medical Records – Under Age 18 Records created by the hospital or its ancillary departments on a per-patient basis to document health care services provided to patients under age 18. Includes, but is not limited to: <ul style="list-style-type: none">• Diagnostic, medical, and/or imaging reports or interpretations;• Medication administration records;• Patient treatment history;• Psychology and psychiatric notes and summaries, and psychotherapy notes. Excludes patient medical records for which a disclosure authorization has been made in the final year of retention, covered by 11-08-62563. | Retain for 10 years after last provision of health-related services <i>and</i> 3 years after patient attains age 18 <i>then</i> Destroy. | NON-ARCHIVAL ESSENTIAL OPR |
| 11-08-62563 Rev. 0 | Patient Medical Records – Disclosure Authorized Patient medical records for which a disclosure has been authorized in accordance with RCW 70.02.040. <i>Note: RCW 70.02.160 requires the retention of existing health care information for at least one year following receipt of an authorization to disclose that health care information.</i> | Retain for 1 year after receipt of authorization to disclose <i>then</i> Destroy. | NON-ARCHIVAL ESSENTIAL OPR |



3.6 RADIATION PROTECTION PROGRAM

The activity relating to compliance with laws and regulations governing the receipt, preparation, use, or storage of radioactive material in hospital facilities.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|------------------------------------|--|---|--------------------------------------|
| 11-08-62564 Rev. 0 | <p>Brachytherapy Source Accountability</p> <p>Records documenting information pertinent to licensees' accountability for brachytherapy sources in storage, transport, or use pursuant to WAC 246-240-260. Includes, but is not limited to documentation of:</p> <ul style="list-style-type: none">• Number and activity of sources removed from storage, time and date removed from storage, name(s) of individuals removing them from storage, and location(s) of use;• Number and activity of sources not implanted or returned to storage, time and date they were returned to storage, and name(s) of individuals who returned them to storage;• Number and activity of sources permanently implanted in the patient or human research subject. <p><i>Note: WAC 246-240-596 requires the retention of records documenting licensees' accountability for brachytherapy sources for 3 years after disposal of the source.</i></p> | <p>Retain for 3 years after disposal of source <i>then</i> Destroy.</p> | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62565 Rev. 0 | <p>Byproduct Misadministration</p> <p>Records relating to the misadministration of byproduct material or radiation from byproduct material. Includes, but is not limited to:</p> <ul style="list-style-type: none">• Doses that differ from the prescribed dose by twenty percent or more;• Doses that exceed dose equivalents;• Doses to skin, an organ, or tissue other than the treatment site. | <p>Retain for 8 years after date of event <i>then</i> Destroy.</p> | NON-ARCHIVAL NON-ESSENTIAL OPR |



3.6 RADIATION PROTECTION PROGRAM

The activity relating to compliance with laws and regulations governing the receipt, preparation, use, or storage of radioactive material in hospital facilities.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|------------------------------------|---|---|--------------------------------------|
| 11-08-62566 Rev. 0 | <p>Occupational and Public Dose/Exposure – Reports</p> <p>Records relating to activities, program reviews, measurements, and calculations which may be necessary to determine the extent of occupational and/or public exposure from sources of radiation as required in WAC 246-221-230.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Records on Department of Health Form RHF-5 or RHF-5A, or equivalent, of doses received by all individuals for whom monitoring is required pursuant to WAC 246-221-090 and/or 246-221-100;• Records of doses received during planned special exposures, accidents, and/or emergency conditions;• Specific information used to calculate the committed effective dose equivalent pursuant to WAC 246-221-040(3);• Results of surveys to determine the dose from external sources of radiation used in the absence of, or in combination with, individual monitoring data, in the assessment of individual dose equivalents;• Results of measurements and calculations used to determine individual intakes of radioactive material used in the assessment of internal dose;• Records showing results of air sampling, surveys, and bioassays required pursuant to WAC 246-221-117;• Results of measurements and calculations used to evaluate the release of radioactive effluents to the environment. | <p>Retain for 30 years after termination of last pertinent license or registration</p> <p><i>then</i></p> <p>Destroy.</p> | NON-ARCHIVAL NON-ESSENTIAL OPR |



3.6 RADIATION PROTECTION PROGRAM

The activity relating to compliance with laws and regulations governing the receipt, preparation, use, or storage of radioactive material in hospital facilities.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|------------------------------------|--|---|--------------------------------------|
| 11-08-62567 Rev. 0 | Occupational and Public Dose/Exposure – Working Files Records used to prepare Department of Health Form RHF-4 and/or RHF-4A, or equivalent as required in WAC 246-221-230(9)(b). <i>Note: WAC 246-221-230(9) requires the retention of public dose/exposure working files for three years after date of document.</i> | Retain for 3 years after completion of report <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62568 Rev. 0 | Patient Releases – Radiation Records relating to the release of individuals containing unsealed radioactive material or implants containing radioactive material as in accordance with WAC 246-240-122. <i>Note: WAC 246-240-578 requires the retention of records relating to the release of individuals containing unsealed radioactive material or implants for 3 years.</i> | Retain for 3 years after patient release <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62569 Rev. 0 | Program Approvals/Changes Records relating to management approvals of radiation program licensing, workers, or program changes in accordance with WAC 246-240-551 or WAC 246-240-554. | Retain for 5 years after date of document/approval <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62570 Rev. 0 | Public Dose Limit Compliance Records documenting compliance with public dose limits for individuals as required by WAC 246-221-060(4). <i>Note: WAC 246-221-230(8)(b) requires the retention of records documenting compliance with public dose limits for individuals until termination of last pertinent license or registration.</i> | Retain until termination of last pertinent license or registration <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



3.6 RADIATION PROTECTION PROGRAM

The activity relating to compliance with laws and regulations governing the receipt, preparation, use, or storage of radioactive material in hospital facilities.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|---|--------------------------------------|
| 11-08-62571 Rev. 0 | Radiation Doses Records relating to the administration of radiation doses for which written directives are required. | Retain for 3 years after administration of dose <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62572 Rev. 0 | Radiopharmaceutical Assays Records relating to assays of radiopharmaceuticals. | Retain for 2 years after date of assay <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OFM |
| 11-08-62573 Rev. 0 | Source Surveys and Tests Records relating to the survey and/or testing of byproduct sources or byproduct source doses. Includes, but is not limited to: <ul style="list-style-type: none">• Surveys of implanted brachytherapy sources in accordance with 10 CFR 35.406(d);• Byproduct dose activity measurements performed in accordance with WAC 246-240-107;• Leak test records of sealed or brachytherapy sources performed in accordance with WAC 246-240-113(1);• Radiopharmaceutical concentration testing of molybdenum-99, strontium-82, and/or strontium-85 in accordance with WAC 246-240-160. | Retain for 3 years after date of survey/measurement <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OFM |



3.6 RADIATION PROTECTION PROGRAM

The activity relating to compliance with laws and regulations governing the receipt, preparation, use, or storage of radioactive material in hospital facilities.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|---|--------------------------------------|
| 11-08-62574 Rev. 0 | <p>Surveys – General</p> <p>Records relating to radiation surveys performed to evaluate the radiological conditions and potential hazards incident to the production, use, release, disposal, or presence of radiation sources.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Ambient radiation exposure surveys performed in accordance with WAC 246-240-119;• General surveys as required by WAC 246-221-110 and/or 246-220-040;• Hot lab surveys;• Mobile medical services surveys performed in accordance with WAC 246-240-125(1)(b) and/or 246-240-125(1)(d);• Mobile nuclear medicine surveys;• Package surveys as required in WAC 246-221-160;• Surveys of patients, human research subjects, and/or remote afterloader units in accordance with WAC 246-240-354 prior to patient release to confirm that the radiation source(s) has been removed from the patient or subject and returned to the safe shielded position;• Working reception surveys. | <p>Retain for 3 years after date of survey <i>then</i> Destroy.</p> | NON-ARCHIVAL NON-ESSENTIAL OPR |



3.6 RADIATION PROTECTION PROGRAM

The activity relating to compliance with laws and regulations governing the receipt, preparation, use, or storage of radioactive material in hospital facilities.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|---|--------------------------------------|
| 11-08-62575 Rev. 0 | Written Directives – Authorizations Written directives from authorized users for the administration of certain radioactive material as required by WAC 246-240-060. <i>Note: WAC 246-240-557 requires the retention of written directives for the administration of radioactive material for 3 years.</i> | Retain for 3 years after date of directive <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62576 Rev. 0 | Written Directives – Doses Records relating to the administration of radiation doses for which written directives are required. | Retain for 3 years after administration of dose <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62577 Rev. 0 | Written Directives – Procedures Procedures for any administration of radioactive material requiring a written directive pursuant to WAC 246-240-063. <i>Note: WAC 246-240-560 requires the retention of procedures for any administration of radioactive material requiring a written directive for the duration of the authorized user's license.</i> | Retain for the duration of the authorized user's license <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



4. HOSPITAL SUPPORT SERVICES

The function of providing services which support the primary mission of the public hospital.

See the **State Government General Records Retention Schedule** for additional community relations records.

4.1 FOOD SERVICES

The activity of providing food services for patients, staff, and the public.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|--|---|
| 11-08-62578 Rev. 0 | Meal Counts Records documenting the number of meals provided to patients. | Retain for 3 years after date meals distributed <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OFM |
| 11-08-62579 Rev. 0 | Menus – Cafeteria Records relating to menus for hospital cafeterias. | Retain for 1 year after last date menu offered <i>then</i> Transfer to Washington State Archives for appraisal and selective retention. | ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM |
| 11-08-62580 Rev. 0 | Menus – Patient Records relating to menus for food offered to hospital patients. | Retain for 3 years after last date menu offered <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OFM |



4.1 FOOD SERVICES

The activity of providing food services for patients, staff, and the public.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|--|--------------------------------------|
| 11-08-62581 Rev. 0 | Patient Meals Records relating to individual, patient-specific dietary orders or requests used by kitchen staff during meal preparation (e.g. patient diet cards). Excludes patient medical records covered by 11-08-62561 or 11-08-62562. | Retain for 3 years after provision of meal <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



4.2 QUALITY ASSURANCE AND COMPLIANCE

The function of enacting and evaluating policies and guidelines to provide adequate confidence that the hospital will fulfill requirements for quality.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|--|--------------------------------------|
| 11-08-62582 Rev. 0 | <i>Health Insurance Portability and Accountability Act (H.I.P.A.A.) – Accountings of Disclosure</i> Records relating to patient requests for access or amendment to protected health information, and/or accountings of disclosure. Includes, but is not limited to: <ul style="list-style-type: none">• Requests to inspect or obtain copies of any protected health information;• Documentation of patients amending their records, and/or requests for corrections;• Records relating to disclosures of protected health information. | Retain for 6 years after date of disclosure <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62583 Rev. 0 | <i>Health Insurance Portability and Accountability Act (H.I.P.A.A.) – Changes/Corrections to Protected Health Information</i> Records relating to changes or corrections made by the covered entity to an individuals' protected health information. | Retain until destruction of protected health information subject to change(s) <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



4.2 QUALITY ASSURANCE AND COMPLIANCE

The function of enacting and evaluating policies and guidelines to provide adequate confidence that the hospital will fulfill requirements for quality.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|---|--------------------------------------|
| 11-08-62584 Rev. 0 | <i>Health Insurance Portability and Accountability Act (H.I.P.A.A.) – Complaints</i> Records relating to internal processing of complaints of alleged HIPAA violations received and/or evaluated by the agency. Includes, but is not limited to: <ul style="list-style-type: none">• Complaints received regardless of format or media;• Background/research materials pertaining to complaints received;• Agency responses to complaints;• Complaint logs. | Retain for 6 years after final resolution <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62585 Rev. 0 | <i>Health Insurance Portability and Accountability Act (H.I.P.A.A.) – Sanctions to Workers</i> Records relating to sanctions applied to workers for non-compliance with privacy policies and/or practices. | Retain for 6 years after fulfillment of sanction <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62586 Rev. 0 | <i>Health Insurance Portability and Accountability Act (H.I.P.A.A.) – Training</i> Records documenting the curriculum, materials, and/or planning of privacy/HIPAA training programs provided by the agency. Includes, but is not limited to: <ul style="list-style-type: none">• Training development records;• Training handouts, worksheets, etc.;• Presentations used for HIPAA training purposes. | Retain for 6 years after superseded <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



4.2 QUALITY ASSURANCE AND COMPLIANCE

The function of enacting and evaluating policies and guidelines to provide adequate confidence that the hospital will fulfill requirements for quality.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|--|--------------------------------------|
| 11-08-62587 Rev. 0 | Medical Staff Credentialing/Privileging Records relating to reviews of practitioners' qualifications and practice history, determinations and restrictions of privileges, certifications and licensing, peer certifications and evaluations, and quality improvement documentation. Excludes personnel records covered by GS 03001, 03041, or 03042. <i>Note: RCW 70.41.220 requires the retention of records relating to decisions to restrict or terminate privileges of practitioners.</i> | Retain for 8 years after termination of employment <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OFM |
| 11-08-62588 Rev. 0 | Patient Accident/Incident Reports – No Claim Filed (Age 18 and Older) Records relating to accidents/incidents involving patients age 18 or older in the course of receiving health-related services, and where claims for damages are <u>not</u> expected or likely to be filed. Includes, but is not limited to, reports and investigations. Excludes patient accident/incident reports covered by 11-08-62588 or 11-08-62589. | Retain for 8 years after date of accident/injury <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62589 Rev. 0 | Patient Accident/Incident Reports – No Claim Filed (Under Age 18) Records relating to accidents/incidents involving patients younger than age 18 in the course of receiving health-related services, and where claims for damages are <u>not</u> expected or likely to be filed. Includes, but is not limited to, reports and investigations. Excludes patient accident/incident reports covered by 11-08-62588 or 11-08-62589. | Retain for 8 years after injury/accident <i>and</i> 8 years after juvenile attains age 18 <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



4.2 QUALITY ASSURANCE AND COMPLIANCE

The function of enacting and evaluating policies and guidelines to provide adequate confidence that the hospital will fulfill requirements for quality.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|--|--|
| 11-08-62590 Rev. 0 | Radiation Protection Program Audits and Reviews Records relating to audits and reviews of radiation protection program content and implementation as required by WAC 246-221-005. <i>Note: WAC 246-221-230(9)(e) requires the retention of radiation protection program audit and review records for 3 years.</i> | Retain for 3 years after completion of audit/review <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62591 Rev. 0 | Standard of Care Records relating to standard of care documentation detailing clinical guidelines and/or protocols for the assessment and treatment of particular conditions. | Retain for 8 years after obsolete or superseded <i>then</i> Transfer to Washington State Archives for permanent retention. | ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR |



4.3 REPORTING

The activity of reporting information to external agencies or organizations.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|---|--|
| 11-08-62592 Rev. 0 | Baptismal Registries Logs or registries documenting baptisms performed in the hospital. | Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives for permanent retention. | ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR |
| 11-08-62593 Rev. 0 | Birth/Death Registers Registers documenting summary information about births or deaths which have occurred in the hospital. | Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives for permanent retention. | ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR |
| 11-08-62594 Rev. 0 | Vital Statistics Supporting Documentation Records relating to the reporting of vital events/statistics to the Washington State Department of Health. | Retain for 1 year after vital event reported to Washington State Department of Health <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



5. HUMAN RESOURCE MANAGEMENT

The function of managing the hospitals' workforce, where not covered by the *State Government General Records Retention Schedule*.

5.1 PERFORMANCE MANAGEMENT

The activity of assessing and directing employee progress toward performance goals.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|---|--------------------------------------|
| 11-08-62595 Rev. 0 | Staff Plans/Schedules Records relating to staff plans and schedules for nurses, social workers, and/or other medical staff. Excludes physician call schedules covered by 11-08-62596. | Retain until completion of Joint Commission on Accreditation of Healthcare Organizations audit <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62596 Rev. 0 | Physician Call Schedules Schedules documenting on-call schedules for hospital physicians. Excludes staff plans/schedules covered by 11-08-62595. <i>Note: 42 CFR 489.20(r)(1-3) requires the retention of physician on-call schedules.</i> | Retain for 5 years after superseded <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OFM |
| 11-08-62597 Rev. 0 | Radiation Safety Officer Records relating to the authority, duties, and responsibilities of the radiation safety officer. <i>Note: WAC 246-240-551(2) requires the retention of records relating to the authority, duties, and responsibilities of radiation safety officers until termination/expiration of medical use license.</i> | Retain until termination/expiration of medical use license <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



5.2 PERSONNEL

The activity of documenting and individual's employment with the agency. Includes volunteers.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|---|--------------------------------------|
| 11-08-62598 Rev. 0 | Blood/Tissue Bank Employees Quality assurance and training records relating to blood/tissue bank employees. Excludes personnel records covered by GS 03001, GS 03041, or GS 03042. <i>Note: The College of American Pathologists recommends the retention of blood bank records relating to employees for 10 years.</i> | Retain for 10 years after termination of employment <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



5.3 STAFF DEVELOPMENT/TRAINING

The activity of enhancing employees' competencies and skills through programs and training.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|--|---|
| 11-08-62599 Rev. 0 | Instruction/Training – Occupational Doses Records relating to the provision of instruction on occupational radiation doses for employees who work in radiation areas for which notification of destruction eligibility has been received from the Department of Health. <i>Note: WAC 246-222-030(2) requires the retention of records relating to worker receipt of instructions regarding occupational doses of radiation until further notice from Washington State Department of Health.</i> | Retain until no longer needed for agency business <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62600 Rev. 0 | Instruction/Training – Radiation Protection Records documenting the provision of safety instruction to personnel who operate remote afterloader units, teletherapy units, or gamma stereotactic radiosurgery units in accordance with WAC 246-240-204, 246-240-263, or 246-240-360, or who care for patients receiving brachytherapy, radiopharmaceutical therapy, and/or teletherapy. <i>Note: WAC 246-240-590 requires the retention of records of safety instruction for 3 years.</i> | Retain for 3 years after date instruction completed <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62601 Rev. 0 | Medical Use Licenses Records relating to byproduct material medical use licenses obtained by individuals in accordance with 10 CFR 35.11. Includes, but is not limited to: <ul style="list-style-type: none">• Byproduct material medical use licenses;• Radioactive materials general and specific licenses. | Retain for 8 years after termination of employment <i>then</i> Destroy. | NON-ARCHIVAL ESSENTIAL OPR |



6. LABORATORY AND PATHOLOGY MANAGEMENT

The function of providing laboratory and pathology services for the assessment and diagnosis of illness, disease, and death.

Note: For the retention of laboratory and/or pathology specimens, Washington State Archives recommends agencies refer to the retention guidelines issued by the College of American Pathologists, the Clinical Laboratory Improvement Amendments (CLIA), and applicable state and federal codes and regulations.

6.1 LABORATORY (GENERAL)

The activity concerned with the overall maintenance and operation of laboratories and laboratory equipment.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|---|--------------------------------------|
| 11-08-62602 Rev. 0 | Accession/Test Logs Logs documenting specimens received by a laboratory and test(s) ordered and/or performed in accordance with 42 CFR 493.1105. Excludes laboratory and pathology specimens. | Retain for 2 years after date of entry <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62603 Rev. 0 | Immunohematology – Non-Transfusion Related Records relating to patient testing and quality control for non-transfusion services, including instrument function checks, maintenance, and temperature records. <i>Note: 42 CFR 493.1105(a)(3)(ii) requires the retention of non-transfusion related immunohematology records for at least 2 years.</i> | Retain for 2 years after date of document <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



6.1 LABORATORY (GENERAL)

The activity concerned with the overall maintenance and operation of laboratories and laboratory equipment.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|---|--------------------------------------|
| 11-08-62604 Rev. 0 | <i>Immunohematology – Transfusion Related</i> Records relating to patient testing and quality control for transfusion services, including donor processing, compatibility testing, and transfusion reaction investigations. <i>Note: 42 CFR 493.1105(a)(3)(ii) requires the retention of transfusion-related immunohematology records for 5 years after records of processing are completed, or 6 months after the latest expiration date for individual product, whichever is longer.</i> | Retain for 5 years after records of processing completed <i>and</i> 6 months after latest expiration date for individual product <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62605 Rev. 0 | <i>Quality Control and Assurance – Transfusion Services</i> Records relating to medical test site quality control programs for transfusion services. Includes, but is not limited to: <ul style="list-style-type: none">• Performance specifications;• Requisitions;• Instrument documentation;• Specimen identification and tracking records. Excludes laboratory specimens. Excludes quality control and assurance for non-transfusion tests covered by 11-08-62606. <i>Note: WAC 246-338-070 requires the retention of transfusion services quality control and assurance records for 5 years.</i> | Retain for 5 years after conclusion of quality control testing <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



6.1 LABORATORY (GENERAL)

The activity concerned with the overall maintenance and operation of laboratories and laboratory equipment.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|--|--------------------------------------|
| 11-08-62606 Rev. 0 | <p>Quality Control and Assurance – Non-Transfusion Services</p> <p>Records relating to quality control programs for non-transfusion services enacted to ensure that accurate test results are reported.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Performance specifications;• Requisitions;• Instrument documentation;• Specimen identification and tracking records. <p>Excludes laboratory specimens.</p> <p>Excludes quality control and assurance for transfusion tests covered by 11-08-62605.</p> <p><i>Note: WAC 246-338-070 requires the retention of non-transfusion quality control and assurance records for 2 years.</i></p> | <p>Retain for 2 years after conclusion of quality control testing <i>then</i> Destroy.</p> | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62607 Rev. 0 | <p>Test Procedures</p> <p>Records relating to test procedures implemented by the laboratory in accordance with 42 CFR 493.1105</p> <p><i>Note: WAC 246-338-070, the Clinical Laboratory Improvement Amendments (CLIA), and the College of American Pathologists require or recommend the retention of test procedures for 2 years.</i></p> | <p>Retain for 2 years after procedure has been discontinued <i>then</i> Destroy.</p> | NON-ARCHIVAL NON-ESSENTIAL OPR |



6.1 LABORATORY (GENERAL)

The activity concerned with the overall maintenance and operation of laboratories and laboratory equipment.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|--|--------------------------------------|
| 11-08-62608 Rev. 0 | Test Reports – General Reports and results for specimens tested or examined by a pathologist and where not covered by a more specific series. Excludes pathology test reports covered by 11-08-62609. Excludes transfusion test reports covered by 11-08-62610. <i>Note: WAC 246-338-070 and the Clinical Laboratory Improvement Amendments (CLIA) require the retention of general test reports for 2 years.</i> | Retain for 2 years after examination of the slide <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OFM |
| 11-08-62609 Rev. 0 | Test Reports – Pathology Final, preliminary, and corrected reports for pathology tests, including cytology, histopathology, and oral pathology reports. Excludes general test reports covered by 11-08-62608. Excludes transfusion test reports covered by 11-08-62610. <i>Note: WAC 246-338-070 requires the retention of pathology test reports for 10 years.</i> | Retain for 10 years after date of report <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62610 Rev. 0 | Test Reports – Transfusion Services Reports and results for transfusion-related specimens tested/examined by a pathologist. Excludes general test reports covered by 11-08-62608. Excludes pathology test reports covered by 11-08-62609. <i>Note: WAC 246-338-070 requires the retention of transfusion services reports for 5 years.</i> | Retain for 5 years after date of report/results <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OFM |



6.1 LABORATORY (GENERAL)

The activity concerned with the overall maintenance and operation of laboratories and laboratory equipment.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|--|--------------------------------------|
| 11-08-62611 Rev. 0 | <p>Transfusion Services – General Administration</p> <p>Records relating to the provision of transfusion services.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Test requisitions or equivalent;• Test records and reports;• Quality control and assurance. <p><i>Note: WAC 246-338-070 requires the retention of records relating to transfusion services for 5 years.</i></p> | <p>Retain for 5 years after conclusion of transfusion/testing <i>then</i> Destroy.</p> | NON-ARCHIVAL NON-ESSENTIAL OPR |



6.2 BLOOD/TISSUE BANKS

The activity of operating banks for the storage or preservation of blood, blood components, or tissue for later use in transfusions.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|------------------------------------|---|--|---|
| 11-08-62612 Rev. 0 | Donors – Deferred Records relating to donors who have been indefinitely deferred, permanently deferred, or placed under surveillance for the recipient's protection. <i>Note: The College of American Pathologists recommends the indefinite retention of blood bank records relating to indefinitely deferred donors, permanently deferred donors, or donors placed under surveillance.</i> | Retain for the life of the agency <i>then</i> Transfer to Washington State Archives for permanent retention. | ARCHIVAL (Permanent Retention) ESSENTIAL OPR |
| 11-08-62613 Rev. 0 | Donors/Recipients – General Records documenting health, medical, and other information about donors and recipients. Includes, but is not limited to: <ul style="list-style-type: none">• Consent information;• Donor/recipient identifying information;• Medical and social history;• Typing and crossmatch information. <i>Note: The College of American Pathologists recommends the retention of blood bank records relating to donors and recipients for 10 years.</i> | Retain for 10 years after final donation/receipt <i>then</i> Destroy. | NON-ARCHIVAL ESSENTIAL OPR |
| 11-08-62614 Rev. 0 | Donors/Recipients – Specimens Records relating to specific specimens, including management and tracking, testing and typing, and recipient information. <i>Note: The College of American Pathologists recommends the retention of blood bank records relating to specimens from blood donors and recipients for 7 days post-transfusion.</i> | Retain for 7 days after transfusion <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



6.2 BLOOD/TISSUE BANKS

The activity of operating banks for the storage or preservation of blood, blood components, or tissue for later use in transfusions.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|---|--------------------------------------|
| 11-08-62615 Rev. 0 | Quality Control (Blood/Tissue Banks) Records relating to quality control measures enacted in blood/tissue banks. <i>Note: The College of American Pathologists recommends the retention of blood bank records relating to quality control for 5 years.</i> | Retain for 5 years after conclusion of quality control testing <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



6.3 CYTOGENETICS

The activity of conducting cytogenetic analysis to determine diagnosis.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|--|--------------------------------------|
| 11-08-62616 Rev. 0 | <i>Diagnostic Images and Final Reports (Cytogenetics)</i> Final reports and diagnostic images relating to cytogenetic examinations. <i>Note: The College of American Pathologists recommends the retention of cytogenetics diagnostic images and final reports for 20 years.</i> | Retain for 20 years after date of report <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62617 Rev. 0 | <i>Gated Dot Plots/Histograms</i> Records relating to gated dot plots and histograms used for flow cytometry. <i>Note: The College of American Pathologists recommends the retention of cytogenetics flow cytometry for 10 years.</i> | Retain for 10 years after examination <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



6.4 FORENSIC PATHOLOGY

The activity of examining corpses to determine cause of death.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|--|---|
| 11-08-62618 Rev. 0 | Accession Logs Records documenting the receipt and management of specimens received for forensic examination. <i>Note: The College of American Pathologists recommends the retention of forensic autopsy accession logs indefinitely.</i> | Retain for the life of the agency <i>then</i> Transfer to Washington State Archives for permanent retention. | ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR |
| 11-08-62619 Rev. 0 | Cytology Reports Reports relating to cytology examinations. <i>Note: WAC 246-338-070 requires the retention of cytology report for 10 years.</i> | Retain for 10 years after date of report <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62620 Rev. 0 | Gross Injury/Trauma Photographs and Negatives Records relating to photographs and/or negatives of gross injuries or trauma. <i>Note: The College of American Pathologists recommends the retention of gross negatives and photographs indefinitely.</i> | Retain for the life of the agency <i>then</i> Transfer to Washington State Archives for permanent retention. | ARCHIVAL (Permanent Retention) ESSENTIAL OPR |



6.4 FORENSIC PATHOLOGY

The activity of examining corpses to determine cause of death.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|--|--|
| 11-08-62621 Rev. 0 | Test Reports – Forensic Final reports and slides relating to forensic autopsy examinations. <i>Note: The College of American Pathologists recommends the retention of forensic reports and slides indefinitely.</i> | Retain for the life of the agency <i>then</i> Transfer to Washington State Archives for permanent retention. | ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR |



7. PHARMACY MANAGEMENT

The function relating to the management of pharmacies that are part of public hospitals.

7.1 ADMINISTRATION

The activity of providing for the general administration of public hospital pharmacies.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|---|---|
| 11-08-62624 Rev. 0 | Batch Data Records relating to laboratory data on each batch of drug received in accordance with WAC 246-895-150. | Retain for 50 years after completion/cessation of batch distribution <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62622 Rev. 0 | Patient Profile and Medication Records – Age 18 and Over Records relating to the filling and dispensing of medications, created in accordance with WAC 246-871-050(2), on each patient age 18 and over receiving prescription medication from the pharmacy. Includes, but is not limited to: <ul style="list-style-type: none">• Client details;• Parenteral products dispensed;• Dates and details of dispensations;• Pharmacist identification;• Client notes, diagnoses, and conditions;• Prescription and refill records. | Retain for 8 years after last provision of health-related services <i>then</i> Destroy. | NON-ARCHIVAL ESSENTIAL OPR |



7.1 ADMINISTRATION

The activity of providing for the general administration of public hospital pharmacies.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|---|---|
| 11-08-62623 Rev. 0 | <p>Patient Profile and Medication Records – Under Age 18</p> <p>Records relating to the filling and dispensing of medications, created in accordance with WAC 246-871-050(2), on each patient under age 18 receiving prescription medication from the pharmacy.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Client details;• Parenteral products dispensed;• Dates and details of dispensations;• Pharmacist identification;• Client notes, diagnoses, and conditions;• Prescription and refill records. | <p>Retain for 8 years after patient attains age 18 <i>then</i> Destroy.</p> | NON-ARCHIVAL ESSENTIAL OPR |



7.2 DRUG ACCOUNTABILITY

The activity of documenting the pharmacy's acquisition, use, and disposition of pharmaceutical drugs.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|---|--------------------------------------|
| 11-08-62625 Rev. 0 | Home Dialysis Program – Drug Shipment Records relating to the shipment of drugs to persons on home dialysis programs in accordance with WAC 246-905-040. | Retain for 2 years after date of shipment <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62626 Rev. 0 | Legend Drug Orders Records relating to legend drug orders created in accordance with WAC 246-904-030. | Retain for 6 years after date of purchase <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62627 Rev. 1 | Pharmaceutical Inventory Accountability Records relating to the pharmacy's acquisition, transfer, distribution, and/or destruction of pharmaceuticals, including controlled substances. Includes, but is not limited to: <ul style="list-style-type: none">• Destruction records;• Dispensing records created in accordance with 21 CFR 1306.26 or 21 CFR 10.34.04;• Drug registers and inventories;• Receipt and distribution records (e.g. invoices, orders, receipts, prescriptions) (42 CFR 423.505(d));• Signature logs;• Transfer records;• Records of destruction as required by WAC 246-873-080(7)(e). | Retain for 10 years after date of destruction/ disposition/distribution <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



7.2 DRUG ACCOUNTABILITY

The activity of documenting the pharmacy's acquisition, use, and disposition of pharmaceutical drugs.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|---|--------------------------------------|
| 11-08-62628 Rev. 0 | <i>Pharmaceutical Wholesaler Inventories</i> Inventory and transaction records maintained by wholesale drug distributors regarding the receipt, distribution, or disposition of prescription drugs in accordance with WAC 246-879-040. | Retain for 2 years after date of creation <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62629 Rev. 0 | <i>Schedule V Drugs Dispensed</i> Records documenting the dispensing of Schedule V drugs. | Retain for 6 years after date dispensed <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



7.3 QUALITY ASSURANCE AND CONTROL

The activity of adopting and implementing procedures to provide for quality assurance and control.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|---|--|--------------------------------------|
| 11-08-62630 Rev. 0 | Compounding Practices Reports relating to the evaluation and implementation of compounding best practices and procedures in compounding pharmacies. | Retain for 2 years after date of report <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OFM |
| 11-08-62631 Rev. 0 | Drug Distribution Errors Reports created in accordance with WAC 246-873-080(11) documenting drug distribution errors reported to a prescribing practitioner and/or pharmacy. | Retain for 6 years after date of report <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62632 Rev. 0 | Home Dialysis Program Quality Assurance Records created in accordance with WAC 246-905-050 relating to quality assurance programs for home dialysis and related drug distribution error, loss, damage, and theft records. | Retain for 6 years after date of shipment <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OFM |
| 11-08-62633 Rev. 0 | Monthly Inspections – Hospital/Nursing Care Units Records relating to the monthly inspection of nursing care units or other areas of hospitals in which medications are dispensed, administered or stored in accordance with WAC 246-873-080(1)(b). | Retain for 3 years after date of inspection <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OFM |



7.3 QUALITY ASSURANCE AND CONTROL

The activity of adopting and implementing procedures to provide for quality assurance and control.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|--|--|
| 11-08-62634 Rev. 0 | <i>Parenteral Product Contamination Testing</i> Records relating to the testing of parenteral products for microbial contamination and other inadequacies in accordance with WAC 246-871-080. Includes, but is not limited to: <ul style="list-style-type: none">• Quality assurance records documenting medication errors, adverse drug reactions, patient satisfaction, and product sterility;• Documentation of sampling tests for contamination;• End product testing where bulk compounding of parenteral solutions is performed utilizing non-sterile chemicals;• Documentation justifying chosen expiration dates for compounded parenteral products. | Retain for 6 years after date of document <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OFM |
| 11-08-62635 Rev. 0 | <i>Pharmaceutical Complaints and Investigations</i> Records of all written and oral complaints regarding each pharmaceutical product, and related investigation records produced in accordance with WAC 246-895-160. | Retain for 2 years after distribution of drug has been completed <i>and</i> 1 year after expiration of drug <i>then</i> Transfer to Washington State Archives for permanent retention. | ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR |



7.3 QUALITY ASSURANCE AND CONTROL

The activity of adopting and implementing procedures to provide for quality assurance and control.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|---|---|
| 11-08-62636 Rev. 0 | Pharmacy Policy, Procedure, and Training Manuals Manuals of pharmacy policies and procedures which ensure patient health, safety, and welfare, as well as training manuals for pharmacy employees, as described in WAC 246-871-050. | Retain for 2 years after superseded <i>then</i> Destroy. | NON-ARCHIVAL ESSENTIAL OPR |
| 11-08-62637 Rev. 0 | Regulated Chemical Tableting Transaction and Drug Enforcement Agency reporting records for regulated transactions involving listed chemicals, a tableting machine, or an encapsulating machine in accordance with 21 CFR 1310.03, 1310.04 and 1310.05. | Retain for 2 years after date of transaction <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62638 Rev. 0 | Returned Pharmaceuticals Records relating to pharmaceuticals returned to the pharmacy and any related examination or testing performed on such pharmaceuticals in accordance with WAC 246-895-060(10). | Retain until termination of pharmacy license <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62639 Rev. 0 | Therapeutically Equivalent Drug Substitution Records documenting prior authorization for therapeutically equivalent drug substitution in accordance with WAC 246-899-030(3). | Retain for 10 years after patient's last discharge <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



8. RESEARCH MANAGEMENT

The function of managing or performing medical research, including Institutional Review Board activities, and clinical or device trials.

8.1 CLINICAL TRIALS

The activity of performing and/or sponsoring clinical trials to evaluate the safety and efficacy of investigational drugs or medical devices.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|--|---|
| 11-08-62640 Rev. 0 | Bioavailability/Bioequivalence Samples – Food and Drug Administration Application Approved Reserve samples of any test articles and reference standards used in conducting in vivo or in vitro bioavailability/bioequivalence studies where a Food and Drug Administration application has been approved, retained in accordance with 21 CFR 320.63 or 320.38. | Retain for 5 years after date on which Food and Drug Administration application or supplemental application is approved <i>then</i> Destroy. | NON-ARCHIVAL ESSENTIAL OPR |
| 11-08-62641 Rev. 0 | Bioavailability/Bioequivalence Samples – No Food and Drug Administration Application Approved Reserve samples of any test articles and reference standards used in conducting in vivo or in vitro bioavailability/bioequivalence studies where no Food and Drug Administration application has been approved, retained in accordance with 21 CFR 320.63 or 320.38. | Retain for 5 years after date of completion of the bioavailability study <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



8.1 CLINICAL TRIALS

The activity of performing and/or sponsoring clinical trials to evaluate the safety and efficacy of investigational drugs or medical devices.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|--|---|
| 11-08-62642 Rev. 0 | Device Trials Records relating to investigational medical device clinical trials retained in accordance with 21 CFR 812.140. Includes, but is not limited to: <ul style="list-style-type: none">Investigator records of receipt, use, shipment, or disposition of an investigational device;Investigator protocols and documentation showing dates and reasons of deviation from protocol;Sponsor records of device shipment and disposition;Signed investigator agreements;Sponsor records concerning adverse device effects;Other records required to be maintained by the Food and Drug Administration. | Retain for 2 years after date investigation completed/terminated <i>and</i> 2 years after records are no longer required as supporting documentation for premarket approval application or a notice of completion of a product development protocol <i>then</i> Destroy. | NON-ARCHIVAL ESSENTIAL OPR |
| 11-08-62643 Rev. 0 | Trial Drug Management – Food and Drug Administration Application Approved Records relating to the acquisition, shipment, or disposition of investigational drugs for which an Food and Drug Administration application has been approved. <i>Note: 21 CFR 312.57 requires the retention of records and reports showing the receipt, shipment, or other disposition of investigational drugs for 2 years after a Food and Drug Administration marketing application is approved.</i> | Retain for 2 years after date marketing application is approved <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |



8.1 CLINICAL TRIALS

The activity of performing and/or sponsoring clinical trials to evaluate the safety and efficacy of investigational drugs or medical devices.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|------------------------------------|---|--|--------------------------------------|
| 11-08-62644 Rev. 0 | <p><i>Trial Drug Management – No Food and Drug Administration Application Approved</i></p> <p>Records relating to the acquisition, shipment, or disposition of investigational drugs for which a Food and Drug Administration application has not been approved.</p> <p><i>Note: 21 CFR 312.57 requires the retention of records and reports showing the receipt, shipment, or other disposition of investigational drugs for 2 years after shipment and deliver of the drug for investigational use is discontinued and the Food and Drug Administration has been notified.</i></p> | <p>Retain for 2 years after investigation is discontinued and the Food and Drug Administration notified <i>then</i> Destroy.</p> | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62645 Rev. 0 | <p><i>Investigators' Financial Interest</i></p> <p>Records relating to the financing of clinical investigations or bioequivalence studies from which data are intended to be submitted to the Food and Drug Administration as part of an application for market approval, retained in accordance with 21 CFR 320.36(b) or 21 CFR 54.6.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Records showing financial interest or arrangement paid to investigators by sponsors as described in 21 CFR 54.4(a)(3)(i);• Records showing significant payments made by the sponsor to the investigator as described in 21 CFR 54.4(a)(3)(ii);• Records showing financial interests held by clinical investigators as described in 21 CFR 54.4 (a)(3)(iii). | <p>Retain for 6 years after conclusion of pertinent investigational activities <i>then</i> Destroy.</p> | NON-ARCHIVAL NON-ESSENTIAL OPR |



8.1 CLINICAL TRIALS

The activity of performing and/or sponsoring clinical trials to evaluate the safety and efficacy of investigational drugs or medical devices.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|---|---|
| 11-08-62646 Rev. 0 | <i>In Vivo/In Vitro Batch Tests</i> Records relating to in vivo or in vitro tests conducted on any marketed batch of a drug product to assure it meets bioequivalence requirements, retained in accordance with 21 CFR 320.36(a). | Retain for 2 years after expiration date of the batch <i>and</i> 2 years after submitted to the Food and Drug Administration <i>then</i> Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62647 Rev. 0 | <i>Subject Case Histories – Food and Drug Administration Application Filed (Clinical Trials)</i> Records relating to individuals administered investigational drugs or employed as a control in a drug investigation for which a Food and Drug Administration application has been filed. Includes, but is not limited to: <ul style="list-style-type: none">• Case report forms and supporting data;• Signed and dated consent forms;• Medical records. <i>Note: 21 CFR 312.64 requires the retention of drug disposition and case history records for 2 years following the date Food and Drug Administration marketing applications is approved for the drug being investigated.</i> | Retain for 2 years after date marketing application is approved <i>then</i> Destroy. | NON-ARCHIVAL ESSENTIAL OPR |



8.1 CLINICAL TRIALS

The activity of performing and/or sponsoring clinical trials to evaluate the safety and efficacy of investigational drugs or medical devices.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|---|---|
| 11-08-62648 Rev. 0 | <p><i>Subject Case Histories – Food and Drug Administration Application Not Filed (Clinical Trials)</i></p> <p>Records relating to individuals administered investigational drugs or employed as a control in a drug investigation for which a Food and Drug Administration application has not been filed.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Case report forms and supporting data;• Signed and dated consent forms;• Medical records. <p><i>Note: 21 CFR 312.64 requires the retention of drug disposition and case history records for 2 years after the investigation is discontinued and the Food and Drug Administration is notified.</i></p> | <p>Retain for 2 years after investigation is discontinued and the Food and Drug Administration is notified <i>then</i> Destroy.</p> | NON-ARCHIVAL ESSENTIAL OPR |



8.2 DIAGNOSTIC RESEARCH

The activity relating to conducting diagnostic research.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|--|--|
| 11-08-62649 Rev. 0 | <p>Diagnostic Research</p> <p>Records created in the course of performing diagnostic testing for research purposes.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Patient files, including medical histories;• Diagnostic research images. | <p>Retain for 8 years after conclusion of research activities <i>then</i> Destroy.</p> | <p>NON-ARCHIVAL ESSENTIAL OPR</p> |



8.3 INSTITUTIONAL REVIEW BOARDS

The activity relating to the management and oversight of human subject research.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|---|---|
| 11-08-62650 Rev. 0 | <p><i>Institutional Review Boards – General Board Records</i></p> <p>Records relating to institutional review boards and their activities in the monitoring and oversight of human subject research as described in 45 CFR 46.115.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Approved sample consent documents;• IRB member lists and credentialing;• IRB reviews of research proposals and ongoing review activities;• Minutes of IRB meetings;• Reports of unanticipated problems involving risks to subjects or others;• Scientific evaluations. <p><i>Note: 45 CFR 46.115(a) requires the retention of general IRB records for at least 3 years.</i></p> | <p>Retain for 3 years after date of document</p> <p><i>then</i></p> <p>Transfer to Washington State Archives for permanent retention.</p> | <p>ARCHIVAL (Permanent Retention) ESSENTIAL OPR</p> |
| 11-08-62651 Rev. 0 | <p><i>Institutional Review Boards – Principal Investigator Records</i></p> <p>Records relating to investigator activities in human subject research.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Documentation of uses and disclosures;• Authorization/consent forms;• Business partner contracts;• Notices of practice;• Responses to requests to amend or correct information;• Patient statements of disagreements and complaints. <p><i>Note: 45 CFR 45.115 requires the retention of principal investigators' records for 6 years after completion of research.</i></p> | <p>Retain for 6 years after completion of research</p> <p><i>then</i></p> <p>Destroy.</p> | <p>NON-ARCHIVAL ESSENTIAL OPR</p> |



8.3 INSTITUTIONAL REVIEW BOARDS

The activity relating to the management and oversight of human subject research.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|--|--|---|--|
| 11-08-62652 Rev. 0 | <p><i>Institutional Review Boards – Research Conducted</i></p> <p>IRB board records which relate to specific research conducted or that documents decisions pertaining to committee actions on research conducted.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Correspondence between the IRB and investigators/researchers;• Progress reports provided to IRB;• Reports of unanticipated problems involving risks to subjects or others;• Injury reports;• Significant new findings provided to subjects. <p><i>Note: 45 CFR 46.115(b) requires the retention of IRB records relating to research conducted for at least 3 years after completion of the research.</i></p> | <p>Retain for 3 years after completion/termination of research</p> <p><i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p> | <p>ARCHIVAL (Appraisal Required) ESSENTIAL OPR</p> |



GLOSSARY

Appraisal

The process of determining the value and disposition of records based on their current administrative, legal, and fiscal use; their evidential and informational or research value; and their relationship to other records.

Archival (Appraisal Required)

Public records which may possess enduring legal and/or historic value and must be appraised by the Washington State Archives on an individual basis.

Public records will be evaluated, sampled, and weeded according to archival principles by archivists from Washington State Archives (WSA). Records not selected for retention by WSA may be disposed of after appraisal.

Archival (Permanent Retention)

Public records which possess enduring legal and/or historic value and must not be destroyed. State government agencies must transfer these records to Washington State Archives (WSA) at the end of the minimum retention period.

WSA will not sample, weed, or otherwise dispose of records fitting the records series description designated as "Archival (Permanent Retention)" other than the removal of duplicates.

Disposition

Actions taken with records when they are no longer required to be retained by the agency.

Possible disposition actions include transfer to Washington State Archives and destruction.

Disposition Authority Number (DAN)

Control numbers systematically assigned to records series or records retention schedules when they are approved by the State Records Committee.



Essential Records

Public records that state government agencies must have in order to maintain or resume business continuity following a disaster. While the retention requirements for essential records may range from very short-term to archival, these records are necessary for an agency to resume its core functions following a disaster.

Security backups of these public records should be created and may be deposited with Washington State Archives in accordance with Chapter 40.10 RCW.

Non-Archival

Public records which do not possess sufficient historic value to be designated as “Archival”. Agencies must retain these records for the minimum retention period specified by the appropriate, current records retention schedule.

Agencies should destroy these records after their minimum retention period expires, provided that the records are not required for litigation, public records requests, or other purposes required by law.

Non-Essential Records

Public records which are not required in order for an agency to resume its core functions following a disaster, as described in Chapter 40.10 RCW.

OFM (Office Files and Memoranda)

Public records which have been designated as “Office Files and Memoranda” for the purposes of RCW 40.14.010.

RCW 40.14.010 – Definition and classification of public records.

(2) “Office files and memoranda include such records as correspondence, exhibits, drawings, maps, completed forms, or documents not above defined and classified as official public records; duplicate copies of official public records filed with any agency of the state of Washington; documents and reports made for the internal administration of the office to which they pertain but not required by law to be filed or kept with such agency; and other documents or records as determined by the records committee to be office files and memoranda.”

OPR (Official Public Records)

Public records which have been designated as “Official Public Records” for the purposes of RCW 40.14.010.

RCW 40.14.010 – Definition and classification of public records.

(1) “Official public records shall include all original vouchers, receipts, and other documents necessary to isolate and prove the validity of every transaction relating to the receipt, use, and disposition of all public property and public income from all sources whatsoever; all agreements and contracts to which the state of Washington or



any agency thereof may be a party; all fidelity, surety, and performance bonds; all claims filed against the state of Washington or any agency thereof; all records or documents required by law to be filed with or kept by any agency of the state of Washington; ... and all other documents or records determined by the records committee... to be official public records."

Public Records

RCW 40.14.010 – Definition and classification of public records.

"... The term "public records" shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business..."

Records Series

A group of records, performing a specific function, which is used as a unit, filed as a unit, and may be transferred or destroyed as a unit. A records series may consist of a single type of form or a number of different types of documents that are filed together to document a specific function.

State Records Committee

The committee established by RCW 40.14.050 to review and approve disposition of state government records.

Its four members include the State Archivist and one representative each from the Office of the Attorney General, Office of the State Auditor, and the Office of Financial Management.



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